

UNITED STATES DISTRICT COURT
SOUTHERN DISTRICT OF NEW YORK

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IN RE PFIZER INC. SECURITIES
LITIGATION,

No. 04-CV-9866-LTS-HBP

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ORDER

The Court has received the attached communication, dated November 3, 2023, from Mr. Mark Stephenson (the “Proposed Claimant”) relating to the above-captioned matter. Counsel for Plaintiffs is directed to review the correspondence and report to the Proposed Claimant and the Court by December 12, 2023, as to whether the information proffered by the Proposed Claimant is sufficient to support an administrable claim under the terms of the settlement in the above action. Chambers will mail the Proposed Claimant a copy of this order.

SO ORDERED.

Dated: New York, New York
November 7, 2023

/s/ Laura Taylor Swain
LAURA TAYLOR SWAIN
Chief United States District Judge

Mail to:

Mr. Mark Stephenson
8152 S. Blackstone
Chicago, IL 60619

Nov 3, 2023

District Judge
Hon. Judge Mrs. Laura Taylor Swain
US District Court for the Southern District of New York
1:2004cv09866
Pfizer Securities Litigation
RE: Pfizer litigation Settlement (EPIC GLOBAL Claims Administrator)
ECF Case No. 04-CV-9866 (LTS) (HSP)

Requester:
Mr. Mark Stephenson
8152 S. Blackstone
Chicago, ILL. 60619

Email: mstephenson8152@gmail.com
Mobile: 7735020386

Subject: Lost Pfizer Shareholder(Class Member). Request to file claim to Pfizer litigation Settlement fund after deadline date with limited records for claims form.

Your Honor, I am a LOST Securities holder under the Transfer agent Equiserve. Asset discovered in year 2022 on unclaimed property.

Transfer Agent/ Fiduciary EQUISERVE
Book-entry DRS/DSPP/DRIP registration
BNY Mellon/ First Chicago Trust
Registration Holder Name:

Mark Stephenson
Robert Nelson JTWRs

No Market Trades or Transfers and Exchanges executed because lost shareholder.

Book-entry Holdings;

Equiserve/ Agouron Pharmaceuticals (purchased 1991) (lot buy)
CUSIP: 008488108

Equiserve/ Warner-Lambert (acquisition 1999)
CUSIP: 934488107

Equiserve/ Pfizer Inc (merger 2000)
CUSIP: 71708811

June 5, 2005 Computershare the Transfer Agent, Fiduciary, and Registrar of my assets merges with Equiserve. No transfers or exchanges executed (Lost Shareholder).

Computershare
P.O. Box 43006
Providence RI 02940-3006
Phone 1-800-733-9393

Year 2006, Pfizer executes Corporate actions on my holdings. Computershare is instructed to escheat my holding to the Illinois State Treasurer office of unclaimed property. Computershare file(s) and report the funds and the address is listed as :

Mark Stephenson Robert Nelson JT WRS
8152 S. Blackstone Ave
Chicago, Ill 60619

Oct 5,6,9,18 of 2006, Pfizer executes more corporate actions;

Equiserve DRS/DSPP/DRIP Holdings:

- 1) The Equiserve/Pfizer Inc Holdings are removed and
Entry Registration with;

EQUISERVE/SUGEN
CUSIP: 865041107
See enclosure: SUGEN HISTORY

I no longer have Pfizer in these holdings. SUGEN is LABELED: REORG

- 2) I am acquisitioned 1 share of Pharmacia & UpJohn, CERTIFICATE (never issued) and address of registration at;

2600 N Brinton Ave.
Dixon, Ill., 61021
Date of acquisition: 1 Nov. 1995 (not a residence during this date)

- 3) Oct 6, 2006, The listed (Computershare/Pharmacia & UpJohn statement) merger of Pharmacia & Upjohn (see attached) to Pfizer Inc.

- 4) Oct. 18, 2006, I am registered on Computershare registry without my authorization.

Computershare/Pfizer Inc.
Registry
DRS
Registration Holder Name
Mark Stephenson &
Robert Nelson JT TEN

Address on file :
2600 N Brinton Ave
Dixon, ILL. 61021

Nov 7, 2006 I am escheated to the Ill State treasure office of unclaimed property.

Illinois Treasurer
Unclaimed Property Division
P.O. Box 19495
Springfield, ILL. 62794-9495

Under this DRS Name with these reported Holdings.

Mark Stephenson &
Robert Nelson JT TEN

Holdings account(s)
Computershare / Pharmacia & Upjohn
CUSIP: 717081103
Issue date: 01 Nov, 1995
Surrender date 05 Oct, 2006
Computershare/ Pfizer
CUSIP: 71708811
Acquisition date: 06 Oct, 2006
Closed Date: Nov 7, 2006

The Address of filing is:

2600 N. Brinton Ave
Dixon, Ill. 61021

I discover my Lost securities 2022.

After the Unclaimed Property was located in 2022, I have inquired with Computershare/Pfizer to obtain Transcript(s), Records and Statements also document (s) for Auditing and Accounting of my assets. Computershare/Pfizer states they only retain record by law for a period of time and they cannot help me.

Thru my investigation I located the Pfizer Litigation Settlement; No CIAFA Notice was ever issue to my address.

8152 S Blackstone Ave
Chicago ILL. 60619

Settlement Administrator (MN)
Pfizer Inc. Securities Litigation Settlement
c/o Garden City Group
LLC P.O. Box Dublin,
OH 43017-5905
Phone 888-236-0464

Class Member: 2000 thru 2005
Class Period: 2000 thru 2005

Class Member List (Check)

Due to these Events I was excluded from filing a claim.

Therefore I respectfully and prayerfully, request to be allowed to file and submit a claim with the limited records I have.

Respectfully Submitted

Mr. Mark Stephenson

Page 4 of 4

Enclosure included: Pathway to Pfizer (SUGEN and Pharmacia & Upjohn with Histories)

If it is appropriate, I will forward you a copy of the claims filings, I will be filing ASAP.

Please provide a confirmation of receipt.

Documents provided upon request.



WIKIPEDIA
The Free Encyclopedia

SUGEN

(Redirected from Sugen)

SUGEN (Sugen) was a drug discovery company focused on development of protein kinase inhibitors. It was founded in 1991, and shut down in 2003, after pioneering protein kinases as therapeutic targets and developing the successful cancer therapy sunitinib (Sutent).

Early history and focus

Sugen was founded in 1991 in Redwood City, California, by veteran biotech investor Stephen Evans-Freke and kinase researchers Joseph Schlessinger and Axel Ullrich. The name was derived from the initials of Schlessinger and Ullrich, and the "GEN" for Genetics. Sugen developed small-molecule inhibitors of protein kinases, key enzymes in signal transduction and cellular decision-making. The main focus was on oncology, though the company had collaborations in other therapeutic areas. The concept of inhibiting kinases by small molecules that mimicked the ATP structure was generally thought to be infeasible when the company was founded (due to the high (mM) concentration of ATP in cells), and Sugen has been credited with pioneering this area,^[1] leading to protein kinases being the second most active area of drug development, largely based on ATP-competitive inhibitors. Sugen also had research programs on protein phosphatases, none of which led to therapeutics.

Research and drug development

Sugen went public in October 1994 (NASDAQ: SUGN).^[2] In 1997, it filed its first Investigational New Drug (IND) application, for a PDGFR inhibitor, SU101.^[3] This failed clinically, but was followed by a different series of compounds^[4] that inhibited VEGFR kinases (involved in angiogenesis) as well as PDGFR and Kit. Of these, SU5416 (Semaxanib) and SU6668 went into clinical trials for colon cancer in 1999. SU5416 proceeded to Phase 3 trials, while the follow-on compound, SU11248 (Sunitinib) was later approved for human use, and a related compound SU11654 (Toceranib) was approved for canine tumors.

Sugen was funded through a number of collaborative research programs with companies including ASTA Medica (pan-Her and Raf programs), Allergan (ophthalmic angiogenesis inhibition), Zeneca (EGFR and cancer), and Amgen all of which took equity stakes in the company,^[5] and Taiho (cancer).^[6] Conversely, Sugen was an investor in and collaborator with Selectide for the development of peptide kinase inhibitors.^[7]

Mergers

Sugen was acquired by Pharmacia & Upjohn in 1999 in a stock swap valued at \$650 million.^[8] In December 1999, Pharmacia & Upjohn merged with Monsanto.^[9] The company was renamed Pharmacia in 2002.^[10] Pharmacia was then acquired by Pfizer in April 2003.^[11]

Shutdown and legacy

The Pfizer-Pharmacia merger led to major cuts in research activities, including the shut down of Sugen over the course of 2003, with the loss of approximately 350 employees.^[1] Pfizer continued the phase 3 trials and development of SU11248, now known as Sutent (sunitinib),^[4] leading to Food and Drug Administration approval in January 2006 for treatment of RCC and GIST tumors. Other programs also transferred to Pfizer, including a follow-on compound to SU11248, known as SU14813, and programs on Met and PAK kinases. Work started at Sugen also contributed to the development of the ALK inhibitor crizotinib (Xalkori), FDA-approved for NSCLC in 2011.^{[12][13]} Sugen also generated extensive basic research on kinase biology, including the publication of almost 300 research papers,^[1] the definition of the human kinome, and the discovery of over 140 human kinase genes. Sugen alumni have gone on to major positions^[14] in other pharmaceutical and kinase-focused companies. In 2010, Sutent surpassed \$1bn in annual revenues for Pfizer.^{[15][16]}

References

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DISTRICT JUDGE

Most Hon. Laura Taylor Swain

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DISTRICT JUDGE

Most Hon. Laura Taylor Swain

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Pharmacia & Upjohn

Pharmacia & Upjohn was a global pharmaceutical company formed by the merger of Sweden-based Pharmacia AB and the American company Upjohn in 1995.^[1] Today the remainder of the company is owned by Pfizer. In 1997, Pharmacia & Upjohn sold several brands to Johnson & Johnson, including Motrin and Cortaid.

History

Amersham

In 1997, the biotechnology division of the company Pharmacia Biotech merged with Amersham Life Science with the new merged entity being known as Amersham Pharmacia Biotech.^{[2][3]} In 2001, the company was renamed Amersham Biotech.^[4] In 2002, Pharmacia sold its share of the company to Amersham plc.^{[5][6]} In 2004, Amersham Biosciences was acquired by GE Healthcare.^[7]

In 1998, the nutrition division of the company was sold to Fresenius.^[8]

Monsanto

Monsanto acquired the pharmaceutical company G. D. Searle & Company in 1985.^[9] In 1998, Searle and the Monsanto Pharma Sector partnered with Pfizer to develop and promote celecoxib, an anti-inflammatory drug used to treat arthritis.^{[10][11]} Branded as Celebrex, celecoxib was approved by the FDA in 1998.^[12] In December 1999, Pharmacia & Upjohn merged with the American biotechnology and medical company, Monsanto and renamed itself Pharmacia.^[13] The company retained Monsanto's pharmaceutical division - then known as Searle - and spun off the remaining interests as the "new Monsanto".^{[14][15]} The newly merged pharmaceutical entity changed its name to Pharmacia Corp.^[16]

Pfizer

In July 2002, Pharmacia Corp. and Pfizer announced an agreement that Pfizer would purchase Pharmacia; control of celecoxib was often mentioned as a key reason for Pfizer's acquisition of Pharmacia.^[17] The deal was finalized in April 2003.^[18]

Later developments

- The remnant of the Stockholm-based part of Pharmacia was partly spun off to Biovitrum in 2001,^{[19][20]} which sold off its plasma products division to Octapharma in 2002.^[21]
- In 2004, the allergy-diagnostic division of Pharmacia was sold off as Pharmacia Diagnostics.^[22] Later

Pharmacia & Upjohn



**Pharmacia
& Upjohn**

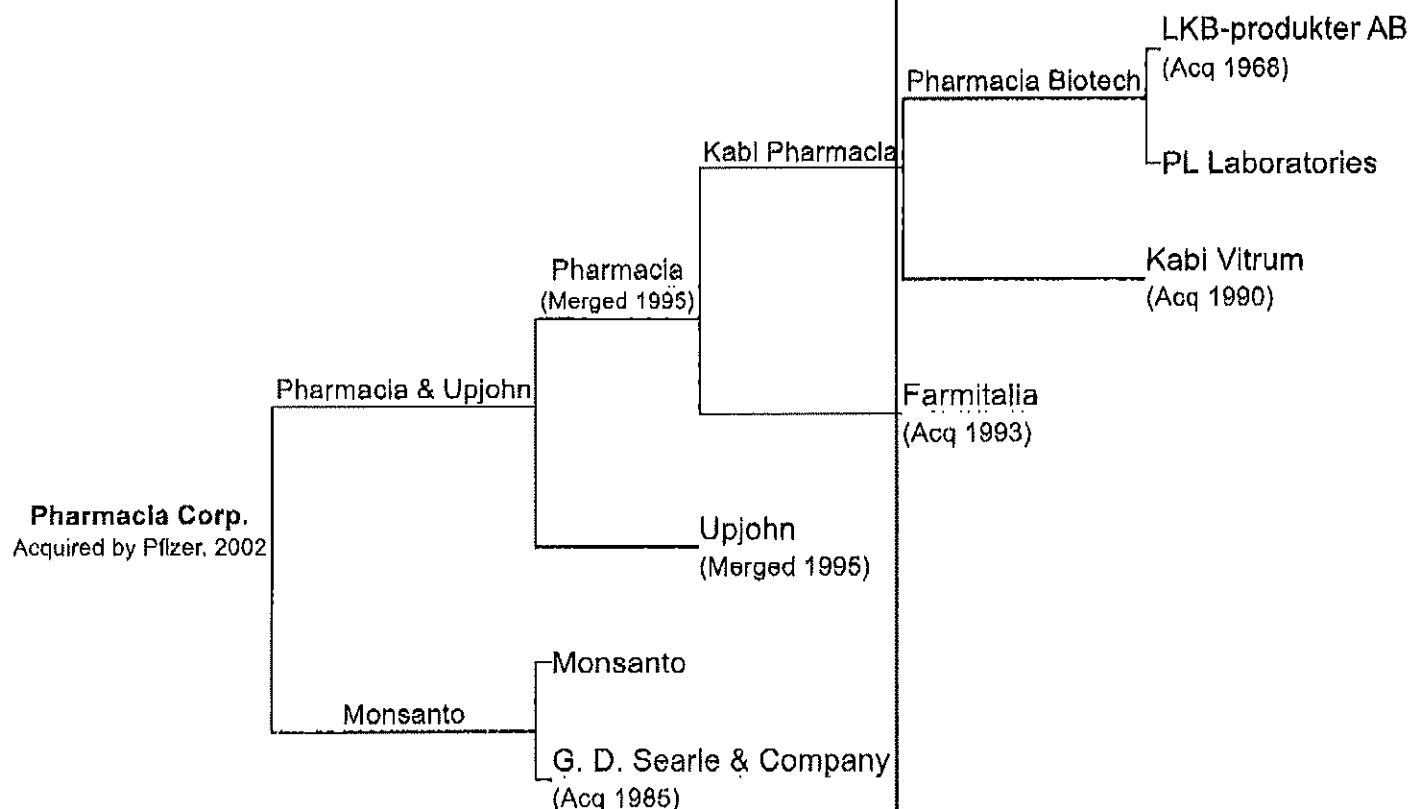
Type	Public
Industry	Pharmaceutical
Founded	Merger of Pharmacia AB & The Upjohn Company
Fate	Acquired by Pfizer

in 2004, the Uppsala-based ophthalmology division was sold to Advanced Medical Optics.^[23]

- In April 2006, Pharmacia Diagnostics changed its name to Phadia, which ended the use of the *Pharmacia* trademark.^[24] In September, Phadia was acquired by PPM Capital.^[24] In April 2006, Indian company Kemwell acquired Pfizer's Uppsala manufacturing plant that used to be under Pharmacia.^[25] The company's facilities in Strängnäs Sweden are currently being expanded for the production of Genotropin, a growth hormone.^[26]

Overview

The following is an illustration of the company's mergers, acquisitions, spin-offs and historical predecessors:



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